

# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT FOR: SUBSCRIPTION PRODUCTS ORDERS

### GENERAL INFORMATION

File Frequency: Daily  
Record Size: 500 characters  
Form Name: ASPO

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### DESCRIPTION

The Subscription Products Orders file (ASPO) is created daily from the Automated Subscription Products System (ASPS) and contains all annuity orders facilitated through NetX360, including but not limited to new purchases and subsequent purchases.

This file along with the Subscription Products Financial Activity file (ASPF), contains all data for direct orders and transactional activity (financial and non-financial).

Record 1 Share Class and Record 2 Suitability are both optional and must be requested.

This file contains header and trailer records that confirm the beginning and end of the file, the date it was created, and the file's total number of records.

New, upcoming fields/records and changes to existing fields are highlighted in blue.

The symbol “**B**” is used on our standard files to represent spaces.

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# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT SPECIFICATIONS

### HEADER RECORD

| POSITION | PICTURE | TYPE | DESCRIPTION  |
|----------|---------|------|--|
| 001-018  | X(18)   | AN   | Literally “BOF” PERSHING” (beginning of Pershing file) |
| 019-036  | X(18)   | AN   | Literally “ASPO” ORDER” FILE”                          |
| 037-046  | X(10)   | AN   | Literally “” DATA” OF”                                 |
| 047-056  | X(10)   | AN   | DATE OF DATA = “MM/DD/CCYY”                            |
| 057-067  | X(11)   | AN   | Literally “” TO” REMOTE”                               |
| 068-071  | X(04)   | AN   | REMOTE ID = “XXXX”                                     |
| 072-085  | X(14)   | AN   | Literally “” BEGINS” HERE”                             |
| 086-095  | X(10)   | AN   | RUN DATE = “MM/DD/CCYY”                                |
| 096-096  | X(01)   | AN   | Not Used   |
| 097-104  | X(08)   | AN   | RUN TIME = “HH:MM:SS”                                  |
| 105-499  | X(395)  | AN   | Not Used   |
| 500-500  | X(01)   | AN   | Literally “A”; indicates the end of the header record  |

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD A

RECORD A

| POSITION | PICTURE | TYPE | DESCRIPTION   |
|----------|---------|------|---|
| 001-002  | X(02)   | AN   | TRANSACTION CODE = "AO"   |
| 003-003  | X(01)   | AN   | RECORD INDICATOR VALUE = "A"  |
| 004-011  | 9(08)   | N    | RECORD ID SEQUENCE NUMBER; begins with "00000001"   |
| 012-014  | X(03)   | AN   | INTRODUCING BROKER DEALER (IBD) NUMBER  |
| 015-015  | X(01)   | AN   | Not Used  |
| 016-018  | X(03)   | AN   | OFFICE NUMBER   |
| 019-021  | X(03)   | AN   | INVESTMENT PROFESSIONAL (IP) NUMBER   |
| 022-022  | X(01)   | AN   | Not Used  |
| 023-031  | X(09)   | AN   | ACCOUNT NUMBER; including Office (3) and Base (6)   |
| 032-051  | X(20)   | AN   | APPLICATION CONTROL NUMBER; unique order identifier   |
| 052-056  | 9(05)   | N    | ORDER RECORD SEQUENCE NUMBER  |
| 057-060  | X(04)   | AN   | DTCC PARTICIPANT ID   |
| 061-063  | X(03)   | AN   | TYPE OF ACTIVITY; values include:<br>"APP" = Initial application<br>"SUB" = Subsequent purchase   |
| 064-100  | X(37)   | AN   | Not Used  |
| 101-400  | X(300)  | AN   | Refer to the document "DTCC Record Layout: Initial Application and Subsequent Premium (APP/SUB)" for the various record types/layouts that correspond to these 300 bytes. |
| 401-435  | X(35)   | AN   | NAME OF INSURANCE COMPANY   |
| 436-499  | X(64)   | AN   | Not Used  |
| 500-500  | X(01)   | AN   | Literally "X"; indicates the end of detail record A   |

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD 1: SHARE CLASS (OPTIONAL)

### RECORD 1: SHARE CLASS (OPTIONAL)

| POSITION | PICTURE | TYPE | DESCRIPTION   |
|----------|---------|------|---|
| 001-002  | X(02)   | AN   | TRANSACTION CODE = "AO"   |
| 003-003  | X(01)   | AN   | RECORD INDICATOR VALUE = "1"  |
| 004-011  | 9(08)   | N    | RECORD ID SEQUENCE NUMBER; begins with "00000001"   |
| 012-014  | X(03)   | AN   | INTRODUCING BROKER DEALER (IBD) NUMBER  |
| 015-015  | X(01)   | AN   | Not Used  |
| 016-018  | X(03)   | AN   | OFFICE NUMBER   |
| 019-021  | X(03)   | AN   | INVESTMENT PROFESSIONAL (IP) NUMBER   |
| 022-022  | X(01)   | AN   | Not Used  |
| 023-031  | X(09)   | AN   | ACCOUNT NUMBER; including Office (3) and Base (6)   |
| 032-051  | X(20)   | AN   | APPLICATION CONTROL NUMBER; unique order identifier   |
| 052-056  | 9(05)   | N    | ORDER RECORD SEQUENCE NUMBER  |
| 057-060  | X(04)   | AN   | DTCC PARTICIPANT ID   |
| 061-063  | X(03)   | AN   | TYPE OF ACTIVITY; values include:<br>"APP" = Initial application<br>"SUB" = Subsequent purchase                     |
| 064-100  | X(37)   | AN   | Not Used  |
| 101-101  | X(01)   | AN   | SUBMITTERS CODE FROM DTCC DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"       |
| 102-103  | X(02)   | AN   | RECORD TYPE FROM DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"                |
| 104-105  | X(02)   | AN   | ORDER RECORD IDENTIFIER; value includes:<br>"AA"  |
| 106-125  | X(20)   | AN   | APPLICATION CONTROL NUMBER FROM DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)" |
| 126-135  | X(10)   | AN   | SHARE CLASS ASSOCIATED WITH THE ANNUITY ORDER   |
| 136-400  | X(265)  | AN   | Not Used  |
| 401-435  | X(35)   | AN   | NAME OF INSURANCE COMPANY   |
| 436-499  | X(64)   | AN   | Not Used  |
| 500-500  | X(01)   | AN   | Literally "X"; indicates the end of detail record 1   |

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD 2: SUITABILITY INFORMATION (OPTIONAL)

### RECORD 2: SUITABILITY INFORMATION (OPTIONAL)

| POSITION | PICTURE | TYPE | DESCRIPTION  |
|----------|---------|------|--|
| 001-002  | X(02)   | AN   | TRANSACTION CODE = "AO"  |
| 003-003  | X(01)   | AN   | RECORD INDICATOR VALUE = "2"   |
| 004-011  | 9(08)   | N    | RECORD ID SEQUENCE NUMBER; begins with "00000001"  |
| 012-014  | X(03)   | AN   | INTRODUCING BROKER DEALER (IBD) NUMBER   |
| 015-015  | X(01)   | AN   | Not Used   |
| 016-018  | X(03)   | AN   | OFFICE NUMBER  |
| 019-021  | X(03)   | AN   | INVESTMENT PROFESSIONAL (IP) NUMBER  |
| 022-022  | X(01)   | AN   | Not Used   |
| 023-031  | X(09)   | AN   | ACCOUNT NUMBER, including Office (3) and Base (6)  |
| 032-051  | X(20)   | AN   | APPLICATION CONTROL NUMBER; unique order identifier  |
| 052-056  | 9(05)   | N    | ORDER RECORD SEQUENCE NUMBER   |
| 057-060  | X(04)   | AN   | DTCC PARTICIPANT ID  |
| 061-063  | X(03)   | AN   | TYPE OF ACTIVITY; values include:<br>"APP" = Initial application<br>"SUB" = Subsequent purchase  |
| 064-100  | X(37)   | AN   | Not Used   |
| 101-101  | X(01)   | AN   | SUBMITTERS CODE FROM DTCC DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"  |
| 102-103  | X(02)   | AN   | RECORD TYPE FROM DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"   |
| 104-105  | X(02)   | AN   | ORDER RECORD IDENTIFIER; value includes:<br>"BB"   |
| 106-125  | X(20)   | AN   | APPLICATION CONTROL NUMBER FROM DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"  |
| 126-135  | X(10)   | AN   | SUITABILITY QUESTION IDENTIFICATION NUMBER   |
| 136-305  | X(170)  | AN   | SUITABILITY QUESTION; text format  |
| 306-315  | X(10)   | AN   | SUITABILITY ANSWER IDENTIFICATION NUMBER   |
| 316-395  | X(80)   | AN   | SUITABILITY ANSWER; text format  |
| 396-396  | X(1)    | AN   | SUITABILITY AUTO FAIL INDICATOR; values include:<br>"Y" = Order fails Enterprise Rules Engine edit<br>"N" = Order does not fail Enterprise Rules Engine edit |
| 397-400  | X(4)    | AN   | Not Used   |
| 401-435  | X(35)   | AN   | NAME OF INSURANCE COMPANY  |
| 436-499  | X(64)   | AN   | Not Used   |
| 500-500  | X(01)   | AN   | Literally "X"; indicates the end of detail record 2  |

# PERSHING STANDARD FILE LAYOUTS

## TRAILER RECORD

| POSITION | PICTURE | TYPE | DESCRIPTION  |
|----------|---------|------|--|
| 001-018  | X(18)   | AN   | Literally “EOF <b>B B B B B B</b> PERSHING <b>B</b> ” (end of Pershing file) |
| 019-036  | X(18)   | AN   | Literally “ASPO <b>B</b> ORDER <b>B</b> FILE <b>B B B</b> ”                  |
| 037-046  | X(10)   | AN   | Literally “ <b>B</b> DATA <b>B</b> OF <b>B B</b> ”                           |
| 047-056  | X(10)   | AN   | DATE OF DATA = “MM/DD/CCYY”  |
| 057-067  | X(11)   | AN   | Literally “ <b>B</b> TO <b>B</b> REMOTE <b>B</b> ”                           |
| 068-071  | X(04)   | AN   | REMOTE ID = “XXXX”   |
| 072-083  | X(12)   | AN   | Literally “ <b>B</b> ENDS <b>B</b> HERE. <b>B</b> ”                          |
| 084-105  | X(22)   | AN   | Literally “TOTAL <b>B</b> DETAIL <b>B</b> RECORDS: <b>B</b> ”                |
| 106-115  | 9(10)   | N    | NUMBER OF DETAIL RECORDS   |
| 116-499  | X(384)  | AN   | Not Used   |
| 500-500  | X(01)   | AN   | Literally “Z”; indicates the end of the trailer record                       |